

STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: Goldman Sachs & Co.

Application No./Patent No.: 10/766,315

Filed/Issue Date: January 27, 2004

Titled: Method and Apparatus for Conducting A Transaction

Goldman Sachs & Co., a Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest in;
2. ☐ an assignee of less than the entire right, title, and interest in
(The extent (by percentage) of its ownership interest is _____ %); or
3. ☐ the assignee of an undivided interest in the entirety of (a complete assignment from one of the joint inventors was made)

the patent application/patent identified above, by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 014951, Frame 0562, or for which a copy therefore is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

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☐ Additional documents in the chain of title are listed on a supplemental sheet(s).

- ☐ As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Walter G. Hanchuk

April 6, 2009

Signature

Date

Walter G. Hanchuk

Partner

Printed or Typed Name

Title

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AUGUST 06, 2004

PTAS

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RECORDATION DATE: 08/06/2004

REEL/FRAME: 014951/0562
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BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

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DOC DATE: 01/22/2004

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DOC DATE: 06/28/2004

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SERIAL NUMBER: 60492558

FILING DATE: 08/05/2003

PATENT NUMBER:

ISSUE DATE:

TITLE: SYSTEM AND METHOD FOR STOCK PURCHASE ADJUSTABLE-RETURN CONVERTIBLES

014951/0562 PAGE 2

SERIAL NUMBER: 60493187

FILING DATE: 08/07/2003

PATENT NUMBER:

ISSUE DATE:

TITLE: METHOD AND SYSTEM FOR THE REMARKETING OF TRUST PREFERRED AND
SETTLEMENT OF STOCK PURCHASE CONTRACTS

SERIAL NUMBER: 10766315

FILING DATE: 01/27/2004

PATENT NUMBER:

ISSUE DATE:

TITLE: METHOD AND APPARATUS FOR CONDUCTING A TRANSACTION

ALLYSON PURNELL, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS